

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

21

Application Number

10/074,804

Filing Date

February 12, 2002

First Named Inventor

Denis Jacques Paul Garcia

Art Unit

2131

Examiner Name

Longbit Chai

Attorney Docket Number

PA2904US

ENCLOSURES (Check all that apply)

Fee Transmittal Form



Fee Attached



Amendment/Reply.



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/
Incomplete ApplicationReply to Missing Parts
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a
Provisional Application

Power of Attorney, Revocation



Change of Correspondence Address



Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

☐ Landscape Table on CD

After Allowance Communication to TC

Appeal Communication to Board
of Appeals and InterferencesAppeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify
below):

- 1) Confirmation Postcard; 2) PTO/SB/08 (x2);
- 3) Duplicate of Supplemental IDS (2pp);
- 4) List of Co-Pending Applications (2pp, x2);
- 5) Copies of 14 Cited References;
- 6) Copies of 5 Co-Pending Applications;
- 7) Check for \$180.00

Remarks

Total page number does not include postcard, copies of cited references, copies of co-pending applications, or check.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Carr & Ferrell LLP

Cust. No. 22830

Signature

Printed name

Susan Yee

Date

August 15, 2005

Reg. No.

41,388

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature

Typed or printed name

Susan Yee, Reg. No. 41,388

Date

August 15, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PAT. OFFICE
 AUG 17 2005

PTO/SB/17 (12-04)

Approved for use through 07/31/2006. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/08/2004.

Patent Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL For FY 2005

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Complete if Known

Application Number	10/074,804
Filing Date	February 12, 2002
First Named Inventor	Denis Jacques Paul Garcia
Examiner Name	Longbit Chai
Art Unit	2131
Attorney Docket No.	PA2904US

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☒ Deposit Account Deposit Account Number: 06-0600 Deposit Account Name: Carr & Ferrell LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee

☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent	50	25
Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent	200	100
Multiple dependent claims	360	180

Total Claims: _____ Extra Claims: _____ Fee (\$): _____ Fee Paid (\$): _____
 - 20 or HP = _____ x _____ = _____
 HP = highest number of total claims paid for, if greater than 20
 Indep. Claims: _____ Extra Claims: _____ Fee (\$): _____ Fee Paid (\$): _____
 - 3 or HP = _____ x _____ = _____
 HP = highest number of independent claims paid for, if greater than 3

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets: _____ Extra Sheets: _____ Number of each additional 50 or fraction thereof: _____ Fee (\$): _____ Fee Paid (\$): _____
 - 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other: Information Disclosure Statement Fee

Fees Paid (\$)

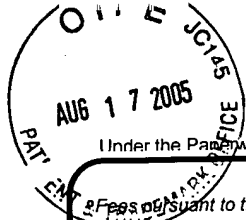
180

SUBMITTED BY

Signature		Registration No. (Attorney/Agent) 41,388	Telephone 650-812-3400
Name (Print/Type)	Susan Yee	Date August 15, 2005	

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL
For FY 2005☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 180.00**Complete if Known**

Application Number	10/074,804
Filing Date	February 12, 2002
First Named Inventor	Denis Jacques Paul Garcia
Examiner Name	Longbit Chai
Art Unit	2131
Attorney Docket No.	PA2904US

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____☒ Deposit Account Deposit Account Number: 06-0600 Deposit Account Name: Carr & Ferrell LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
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Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims	Fee (\$)	Fee Paid (\$)
<hr/>						
HP = highest number of total claims paid for, if greater than 20						
Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)			
<hr/>						
HP = highest number of independent claims paid for, if greater than 3						

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Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
<hr/>				
- 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____				

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Non-English Specification, \$130 fee (no small entity discount)

Other: Information Disclosure Statement Fee

Fees Paid (\$)

180

SUBMITTED BY

Signature	<i>Susan Yee</i>	Registration No. (Attorney/Agent)	41,388	Telephone	650-812-3400
Name (Print/Type)	Susan Yee	Date	August 15, 2005		

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IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Denis Jacques Paul Garcia
SERIAL NUMBER: 10/074,804
FILING DATE: February 12, 2002
TITLE: Secured Data Format for Access Control
EXAMINER: Longbit Chai
ART UNIT: 2131
ATTY. DKT. NO.: PA2904US

MAIL STOP AMENDMENT
COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
Under 37 C.F.R. §§ 1.56, and 1.97-1.98

SIR:

Pursuant to the provisions of 37 C.F.R. §§ 1.56 and 1.97-98 of the Rules of Practice in Patent Cases, enclosed herewith is form PTO-SB-08 and a List of Co-Pending Patent Applications, listing several references; copies of the foreign and non-patent references are enclosed. Copies of three of the co-pending applications are not enclosed as the applications are available via the Patent Application Information Retrieval system. As such, submission is not required under 37 C.F.R. § 1.98(a)(2)(iii).

The Examiner is requested to make these references of official record in this application. The references cited may be material to examination of the application and are submitted in compliance with Applicant's duty of disclosure as defined by 37 C.F.R. § 1.56.

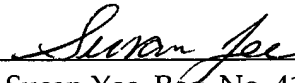
08/18/2005 BABRAHA1 00000112 10074804
01 FC:1806 180.00 OP

No representation is made or intended as to the completeness of this list, nor is the inclusion of any reference on this list an admission that it is prior art or pertinent to this application.

Applicant hereby attaches the \$180 fee required by 37 C.F.R. §1.17(p) with this submission. The Commissioner is hereby authorized to charge Deposit Account No. 06-0600 for any additional fees that may be required, or credit our account for any overpayment charge. A copy of this statement is submitted in duplicate for this purpose.

Respectfully submitted,
Denis Jacques Paul Garcia

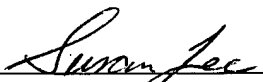
Dated: August 15, 2005

By: 
Susan Yee, Reg. No. 41,388
Carr & Ferrell LLP
2200 Geng Road
Palo Alto, CA 94303
TEL: (650) 812-3400
FAX: (650) 812-3444

CERTIFICATE OF MAILING

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Dated: August 15, 2005

By: 
Susan Yee, Reg. No. 41,388



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UNITED STATES PATENT AND TRADEMARK OFFICE

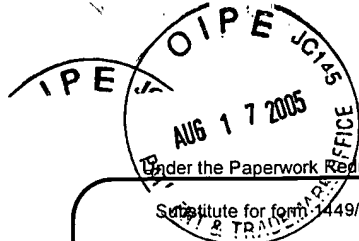
APPLICANT: Denis Jacques Paul Garcia
APPLICATION NO.: 10/074,804
FILED: February 12, 2002
TITLE: Secured Data Format for Access Control
EXAMINER: Longbit Chai
GROUP ART UNIT: 2131
ATTY.DKT.NO.: PA2904US

MAIL STOP AMENDMENT
COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

**List of Co-Pending Patent Applications That May Be Directed
Towards Similar Subject Matter**

Examiner's Initials	Serial Number	First-Named Inventor	Title	Filing Date
	10/076,254	Alain Rossmann	Method and Architecture for Providing Pervasive Security to Digital Assets	February 12, 2002
	10/159,537	Denis Jacques Paul Garcia	Method and Apparatus for Securing Digital Assets	May 31, 2002
	10/159,220	Gary Mark Kinghorn	Method and System for Protecting Electronic Data in Enterprise Environment	May 31, 2002
	10/259,075	Steven Toye Crocker	Effectuating Access Policy Changes to Designated Places for Secured Files	September 27, 2002
	10/325,013	Alain Rossmann	Hybrid Systems for Securing Digital Assets	December 20, 2002
	10/325,102	Nalini J. Prakash	Method and Apparatus for Securing/Unsecuring Files by File Crawling	December 20, 2002

	10/404,566	Steven Toye Crocker	Multi-Level Cryptographic Transformations for Securing Digital Assets	March 31, 2003
	10/405,587	Satyajit Nath	Method and System for Securing Digital Assets Using Content Type Designations	April 1, 2003
Examiner's Signature:				Date



PTO/SB/08A (08-03)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/074,804
Filing Date	February 12, 2002
First Named Inventor	Denis Jacques Paul Garcia
Art Unit	2131
Examiner Name	Longbit Chai
Attorney Docket Number	PA2904US

Sheet 1 of 5

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 4,757,533	07-12-1988	Allen et al.	
		US- 5,052,040	09-24-1991	Preston et al.	
		US- 5,058,164	10-15-1991	Elmer et al.	
		US- 5,220,657	06-15-1993	Bly et al.	
		US- 5,247,575	09-21-1993	Sprague et al.	
		US- 5,369,702	11-29-1994	Shanton	
		US- 5,375,169	12-20-1994	Seheidt et al.	
		US- 5,406,628	04-11-1995	Beller et al.	
		US- 5,414,852	05-09-1995	Kramer et al.	
		US- 5,495,533	02-27-1996	Linehan et al.	
		US- 5,570,108	10-29-1996	McLaughlin et al.	
		US- 5,584,023	12-10-1996	Hsu	
		US- 5,680,452	10-21-1997	Shanton	
		US- 5,684,987	11-04-1997	Mamiya et al.	
		US- 5,689,718	11-18-1997	Sakurai et al.	
		US- 5,699,428	12-16-1997	McDonnal et al.	
		US- 5,708,709	01-13-1998	Rose	
		US- 5,717,755	02-10-1998	Shanton	
		US- 5,729,734	03-17-1998	Parker et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
		EP 0 674 253 A1	09-27-1995	Kabushiki Kaisha Toshiba		
		EP 0 809 170 A1	11-26-1997	NCR International Inc.		
		EP 0 913 966 A2	05-06-1999	Sun Microsystems, Inc.		
		EP 0 950 941 A2	10-20-1999	Fujitsu Limited		
		EP 1 130 492 A2	09-05-2001	Sony Corporation		
		EP 1 154 348 A2	11-14-2001	Matsushita Electronics Corp.		

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Sheet 2 of 5**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 5,751,287	05-12-1998	Hahn et al.	
		US- 5,787,173	07-28-1998	Seheidt et al.	
		US- 5,821,933	10-13-1998	Keller et al.	
		US- 5,835,601	11-10-1998	Shimbo et al.	
		US- 5,870,477	02-09-1999	Sasaki et al.	
		US- 5,892,900	04-06-1999	Ginter et al.	
		US- 5,898,781	04-27-1999	Shanton	
		US- 5,953,419	09-14-1999	Lohstroh et al.	
		US- 6,044,155	03-28-2000	Thomlinson et al.	
		US- 6,134,327	10-17-2000	Van Oorschot	
		US- 6,141,754	10-31-2000	Choy	
		US- 6,260,141 B1	07-10-2001	Park	
		US- 6,336,114 B1	01-01-2002	Garrison	
		US- 6,351,813 B1	02-26-2002	Mooney et al.	
		US- 6,356,903 B1	03-12-2002	Baxter et al.	
		US- 6,363,480 B1	03-26-2002	Perlman	
		US- 6,442,695 B1	08-27-2002	Dutcher et al.	
		US- 6,490,680 B1	12-03-2002	Scheidt et al.	
		US- 6,505,300 B2	01-07-2003	Chan et al.	

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		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
		GB 2 328 047 A	02-10-1999	Microsoft Corporation		
		JP 2001-036517	02-09-2001	Lucent Technol, Inc.		
		WO 00/56028	09-21-2000	Texar Software Corp.		
		WO 01/84271 A2	11-08-2001	Certia, Inc.		
		WO 01/61438 A2	08-23-2001	Permabit, Inc.		
		WO 01/78285 A1	10-18-2001	Mediadna, Inc.		

Examiner
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Sheet 3 of 5

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		US- 6,542,608 B2	04-01-2003	Scheidt et al.	
		US- 6,549,623 B1	04-15-2003	Scheidt et al.	
		US- 6,608,636 B1	08-19-2003	Roseman	
		US- 6,633,311 B1	10-14-2003	Douvikas et al.	
		US- 6,834,341 B1	12-21-2004	Bahl et al.	
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Application Number	10/074,804
Filing Date	February 12, 2002
First Named Inventor	Denis Jacques Paul Garcia
Art Unit	2131
Examiner Name	Longbit Chai
Attorney Docket Number	PA2904US

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